

CAPITAL PLANNING SYSTEM USER MANUAL

General

The following formats, etc. are used in the Capital Planning System User Manual:

<Key>	Keyboard keys (e.g., <Tab> means press the tab key)
[Button]	Graphical buttons on the screen (e.g., [Cancel] represents the Cancel button on a screen form)
<u>Underline</u>	Options on the application menu (e.g., <u>Previous</u> represents the previous page option)
SMALL CAPS	Pages in the system (e.g., HOME means the home page).

The agency capital plans are to be submitted to the Capital Planning Advisory Board through the web-based application only. The electronic system does include the capability to print the data either directly from the screen or in formatted reports. However, ***do not send hard copies of the data to the Capital Planning Advisory Board.***

SUBMISSION LEVEL

Capital plans are to be completed and submitted at the organizational levels identified in Appendix A.

PLAN VERSIONS

The capital planning system will retain five versions of each agency plan in the planning cycle.

Version 0 will reflect data that has been pre-populated for each agency to review – it is a read-only file. All changes to the data are to be made in Version 1.

Version 1 is where any additions, deletions, and changes to the pre-populated data (Version 0) are to be made and where any required forms that were not pre-populated are to be completed. This version is to be submitted pursuant to the April 15 due date. At that time, it will become a read-only file.

Version 2 will reflect the agency plan as reviewed by CPAB at its summer plan review meetings. It will incorporate any changes made in response to CPAB staff questions/requests for clarification following the April 15 submission as well as any additional changes desired by the agency.

Version 3 will reflect the agency plan as of October 1. Between the summer review meetings and October 1, agencies will be able to make any changes necessary to comply with the requirement that projects submitted in the agency capital budget request also be listed in the capital plan. (This version of the plan will be the basis of the agency project listings, etc. published in the statewide capital improvements plan submitted to the branch heads on November 1.)

Version 4 will reflect any changes made to the agency plan after October 1 and will serve as a source of data with which to pre-populate the plans for the next planning process.

ACCESSING THE CAPITAL PLANNING SYSTEM

The capital planning system can be accessed through the CPAB homepage at www.lrc.ky.gov/statcomm/CPAB/homepage.htm.

SYSTEM USERS

Individuals with access to the capital planning system have the following authorizations relative to various components of the system:

- Agency users may enter and edit data, and review and print reports.
- Agency contacts may enter and edit data, and review and print reports for the agency. They may also complete and revise the Plan Checklist, and assign agency level priorities to proposed projects.
- Cabinet contacts have read-only access to data entered by agencies within their cabinets (data editing and entry are not allowed) and may review and print reports for any agency within their cabinet. They may also complete the cabinet Plan Overview and assign cabinet level priorities to proposed projects.
- Read-only users may not enter or edit data, but may review and print reports from the system.

AUTHORITY TO ACCESS TO THE CAPITAL PLANNING SYSTEM

For each agency, access to the capital planning system will be available only to:

- The individual identified as the agency contact.
- Other individuals authorized by that agency contact pursuant to the procedure outlined below.

Use of the system is not restricted below the agency level. As such, anyone (contact or other) authorized by the agency to use the system will have access to all data, forms and functions (e.g., reports) for that agency. Individuals at other agencies within or outside your cabinet/area of government will not have access to your agency's data, etc.

If your agency is in one of the cabinets in which separate, complete plans are prepared by each agency, the cabinet contact will have read-only access to the data entered by all agencies in the cabinet. Additionally, the cabinet contact will have the ability to apply cabinet-level priority numbers to the projects submitted on Form SYP-P2.

AUTHORIZATION FOR ADDITIONAL AGENCY USERS

To obtain authorization for additional agency users, the agency contact is to forward the name, title, mailing address, e-mail address, and telephone number of each individual to CPAB (cpab@lrc.ky.gov). CPAB staff will then assign each user a password. Notification of the password will be provided directly to the user and the agency contact by e-mail.

CAPABILITIES AVAILABLE ONLY TO AGENCY CONTACTS

The designated agency contacts have several capabilities in the electronic system that are ***not available to agency users***. Agency contacts may:

- Access and make changes to the Plan Checklist at any time,
- Enter agency priorities for proposed projects on Form SYP-P2, and
- Formally submit the agency plan to the Capital Planning Advisory Board.

CAPABILITIES AVAILABLE ONLY TO CABINET CONTACTS

The designated cabinet contacts (for the cabinets in which agencies prepare individual plans) have the following capabilities in the electronic system that are ***not available to agency contacts***. Cabinet contacts may:

- Assign cabinet priorities to proposed projects on Form SYP-P2 and
- Formally submit the cabinet and agency plans to the Capital Planning Advisory Board.

LOGGING-IN TO THE SYSTEM

Upon accessing the capital planning system on the CPAB web site, the user will need to sign-in using his/her e-mail address and the password assigned by CPAB staff.

To retain your password for future logins - in MS Internet Explorer, go to Tools/Internet Options, click the Content tab, then Personal Information. In the Personal information area, click on AutoComplete. Under "Use AutoComplete for," make sure 'Web Addresses, Forms, and User Names and Passwords on Forms' are checked. After entering [OK] to exit Internet Options, on the login screen click on "Remember login."

COMPLETION OF THE PLAN CHECKLIST

In order for any capital planning forms or functions to be accessed, the agency contact must have completed the Plan Checklist to determine the specific requirements that the agency must address. The checklist is a series of questions – each of which requires a “yes” or “no” response. Only those forms related to questions with a “yes” response will be available to the agency. The Checklist can be revised by the agency contact at any time by selecting “Revise Plan Checklist” under Agency Contact Functions on the **SELECT OPTION** page. NOTE: Only the agency contact is authorized to access the Plan Checklist.

USING THE FORMS AND FUNCTIONS AVAILABLE IN THE SYSTEM

After logging in and if the agency checklist has been completed, most users will be taken to the **SELECT PLAN** page to select a plan version to view (read only format) or update (enter/edit data). Users with authority to access multiple agencies will be taken to the **SELECT ORGANIZATION** page, and after selecting the agency will be taken to the **SELECT PLAN** page.

Upon selecting the Plan version, the user may choose a form or function to access from the **SELECT OPTION** page. The options available on this page are based on the access level of the users and the items that have been marked “yes” on the Plan Checklist.

PRINTING REPORTS

Because the plan includes several types of reports, a variety of printing options are included in the system. These include the ability to print data for individual forms and projects, as well as the ability to print the detail or various summaries of all projects reported on a given form (for example, Form SYP-P2). The various print options available are described in the instructions for each form. In all instances, a report may be viewed before printing.

All reports are provided in PDF, which requires the Adobe Acrobat Reader. (This software may be downloaded from the capital planning system **HOME/LOGIN** page.)

LOGGING OFF OF THE SYSTEM

When the user wants to end a session in the system, the ***Log-off option in the upper right corner of the application page should be used.***

Selecting Logoff returns the **HOME PAGE** with the Account Login field displayed. Two options are available at this point.

- To completely close out of the capital planning application, clicking the close box (x) in the upper right corner of the Internet browser.
- To return for further work in the application, the user will need to login again.

NAVIGATING THE FORMS/PAGES

The banner/menu bar at the top of each page of the application has two sections.

Information on the left identifies where the user is currently working – the name of the form, the plan (the six-year planning period), the version of the plan (see Plan Versions, above) and the organization (cabinet or agency).

Navigation to major sections of the application can be done by selecting an item on the right:

- Return to CP Information – goes to the capital planning system **HOME** page, with only the system information displayed.
- Select Organization/Plan – goes to the list of all organizations whose plan(s) the user has authorization to view or change. Only users with access to plans of multiple organizations will be taken to **SELECT ORGANIZATION** page; other users will be taken to the **SELECT PLAN** page.
- Select Option – goes to the list of forms or other functions to which the user has authorization (e.g., SYP forms, Agency Level Reports, Agency Contact Functions, Cabinet Level Functions).
- Previous – takes the user to the previous screen. Previous does not maintain a history like the “Back” button on your browser menu, rather it returns only one previous screen.

- **Logoff** – terminates access to the user’s agency data. It takes the user to the capital planning system **HOME** page with the “Account Login” information displayed. From this point, the user may close the application by clicking the close box (x) in the upper right corner of the Internet browser – or login again.

HOME PAGE

ACCOUNT LOGIN - The “Account Login” section of the **HOME PAGE** is the location for users to log-in to the system to access the plans for which they have authorization to review and or change. This section will also be re-displayed when the user selects log-off and returns to this page from within the application.

SYSTEM INFORMATION - The Home Page also provides information as follows:

- An Overview of the Capital Planning System including a link to the Agency Capital Planning Instructions as approved by CPAB and links to documentation about use of the electronic capital planning system,
- Application Requirements, including a PDF reader installation link,
- Important Reminders and News about the System, and
- Contacts for Questions about the Agency Plans and the Electronic Planning System including a link to our Frequently Asked Questions (FAQ) pages.

Users should regularly check the information on this page as it will be periodically updated – particularly “Important Reminders and News about the System” and the links for our FAQ pages.

PLAN CHECKLIST

The first time a user identified as an agency contact logs in, the **PLAN CHECKLIST** page will automatically be displayed. Individuals with “user” rights only will not have access to this page.

RESPONDING TO THE CHECKLIST - The agency contact must enter a “yes” or “no” response to each question listed in order for the system to make the appropriate forms available to be completed, and to generate the appropriate reports. If any question has not been addressed, the system will not accept the [Save Changes] instruction.

REVISING THE CHECKLIST RESPONSES – Responses entered on the **PLAN CHECKLIST** can be revised by the agency contact at any time by selecting “Revise Plan Checklist” under Contact Functions on the **SELECT FORM** page. **NOTE:** Only the agency contact is authorized to access the **PLAN CHECKLIST**.

PRINTING THE CHECKLIST - The only means of printing the **PLAN CHECKLIST** is to select “Print” from your web browser’s menu bar. This will print the checklist in the format it appears on the screen.

SELECT ORGANIZATION

The **SELECT ORGANIZATION** page will appear for only those users who have authorization to access multiple plans (primarily cabinet contacts).

SELECT PLAN

The **SELECT PLAN** page will display a list showing the versions of the plan for the agency that have been prepared/submitted previously or are currently in process. The listing will be in reverse chronological order with the first listing being the version of the plan that is currently active (in process) or the most recent submission. Plans that have been officially submitted to CPAB will be available in a read-only format.

SELECT OPTION

The **SELECT OPTION** page lists the forms that the agency is required to submit based on responses to the Plan Checklist. It also lists various other functions that are available to the user –

- Agency Level Reports – view/print agency level reports for those forms the agency is required to submit.
- Agency Contact Functions – revise the Plan Checklist, set agency priorities, submit agency plan to CPAB.
- Cabinet Level Functions - complete Form SYP-P1: Cabinet Plan Overview, view/print cabinet level reports, set cabinet priorities, and submit to CPAB.

APPENDIX A

CAPITAL PLAN SUBMISSION LEVELS

Capital plans are to be completed and submitted at the organizational levels identified below. Contact the CPAB office if further information is needed relative to the specific entities expected to be addressed by each cabinet or agency plan.

Most executive branch agencies and some cabinets are to complete and submit a single capital plan to CPAB. While parts of the plan may be developed at different organizational levels, the final submission is to reflect the consolidation or compilation of data for the entire agency or cabinet as appropriate. For example, a cabinet submission will have a single Agency Mission and Programs narrative, not a separate narrative for each department and entity attached to the cabinet. Similarly, there will be a single report of all cabinet-owned space, not a separate report for each agency within the cabinet.

In most executive branch cabinets, a separate, complete plan is to be prepared by each major department/agency. A "Secretary's Office/All Other" agency submission is identified for these cabinets to address entities attached to the cabinet - either directly or for administrative purposes - that are not required to prepare a separate, complete plan. *All plans for the cabinet are to be submitted to the cabinet secretary for the assignment of cabinet priorities to the proposed projects and preparation of a cabinet-level plan overview. The cabinet will then submit all of the plans to CPAB, together with the cabinet priorities and the cabinet overview.*

Several executive branch agencies that are organizationally attached to a specific cabinet are to complete and submit plans directly to CPAB. These plans need not be routed through the cabinet to which the agency is attached for assigning cabinet priority numbers.

For the legislative and judicial branches, a single plan encompassing all entities within the branch is to be submitted by the Legislative Research Commission and Administrative Office of the Courts, respectively.

For each of the following, a single plan is to be submitted.

(All departments, offices, divisions, and/or administratively attached entities are to be addressed.)

Legislative Branch

Judicial Branch

Office of the Governor

Secretary of State

Department of Law (Attorney General)

State Treasury (State Treasurer)

Auditor of Public Accounts

Department of Agriculture (Agriculture Commissioner)

Governor's Office of Agricultural Policy

Kentucky Office of Homeland Security

Labor Cabinet

Personnel Cabinet

Eastern Kentucky University

Kentucky Community & Technical College System

Kentucky State University
Morehead State University
Murray State University
Northern Kentucky University
University of Kentucky
University of Kentucky Hospital
University of Louisville
Western Kentucky University

Department of Military Affairs
Department of Veterans Affairs
Department for Local Development
Unified Prosecutorial System
Kentucky Retirement Systems
Judicial Form Retirement System
Personnel Board
Board of Elections
Registry of Election Finance
Kentucky Lottery Corporation

School Facilities Construction Commission
Kentucky Higher Education Assistance Authority
Kentucky Housing Corporation
Kentucky Infrastructure Authority
Kentucky River Authority
Kentucky Higher Education Student Loan Corporation
Department of Education
Council on Postsecondary Education
Kentucky Teachers' Retirement System

Board of Accountancy
Board of Auctioneers
Board of Barbering
Board of Chiropractic Examiners
Board of Dentistry
Board of Embalmers & Funeral Home Directors
Board of Examiners & Registration of Architects
Board of Examiners & Registration of Landscape Architects
Board of Hairdressers & Cosmetologists
Board of Medical Licensure
Board of Nursing
Board of Optometric Examiners
Board of Respiratory Care
Board of Pharmacy
Board of Physical Therapy
Board of Podiatry
Board of Real Estate Appraisers
Board of Registration for Professional Engineers /Land Surveyors
Commission on Women
Commission on Human Rights
Real Estate Commission

For the following cabinets, plans are to be completed at the agency level but submitted to and through the cabinet to allow for the completion of a cabinet overview and assignment of cabinet priority rankings to proposed projects. (All departments, offices, divisions, and/or administratively attached entities are to be addressed in the plan for each agency that is listed.)

ECONOMIC DEVELOPMENT CABINET

- Financial Incentives
- Office of the Secretary

EDUCATION AND WORKFORCE DEVELOPMENT CABINET

- Commission on the Deaf & Hard of Hearing
- Department for Libraries and Archives
- Education Professional Standards Board
- Environmental Education Council
- Kentucky Educational Television
- Office of the Blind
- Office of Career and Technical Education
- Office of Employment and Training
- Office of Vocational Rehabilitation
- Office of the Secretary/All Other (Education Cabinet)

ENERGY AND ENVIRONMENT CABINET

- Department of Natural Resources
- Department of Environmental Protection
- Department of Energy Development and Independence
- Public Service Commission
- Secretary's Office/All Other (EEC)

HEALTH & FAMILY SERVICES CABINET (SECRETARY'S OFFICE/ALL OTHER)

- Department of Behavioral Health, Dev. Disabilities
- Department of Community Based Services
- Department of Public Health
- General Administration and Programs Support (GAPS)

FINANCE AND ADMINISTRATION CABINET

- Department for Facilities and Support Services
- Department of Revenue
- Commonwealth Office of Technology
- Office of the Controller
- Secretary's Office/All Other (FAC)

JUSTICE AND PUBLIC SAFETY CABINET

- Department of Corrections
- Department of Criminal Justice Training
- Department of Juvenile Justice
- Department of Kentucky State Police
- Department of Public Advocacy
- Office of the Secretary/All Other (Justice and Public Safety Cabinet)

PUBLIC PROTECTION CABINET

- Department of Alcoholic Beverage Control
- Department of Charitable Gaming
- Department of Financial Institutions
- Department of Housing, Buildings and Construction
- Department of Insurance
- Office of the Secretary/All Other (Public Protection Cabinet)

TOURISM, ARTS, AND HERITAGE CABINET

- Department of Fish and Wildlife Resources
- Department of Parks
- Eastern Kentucky Exposition Center
- Frankfort Convention Complex
- Kentucky Artisans Center at Berea
- Kentucky Arts Council
- Kentucky Center for the Arts
- Kentucky Department of Travel
- Kentucky Heritage Council
- Kentucky Historical Society
- Kentucky Horse Park
- Kentucky State Fair Board
- Northern Kentucky Convention Center
- Office of the Secretary/All Other (Tourism, Arts, and Heritage Cabinet)

TRANSPORTATION CABINET

- Department of Aviation
- Department of Highways
- Department of Vehicle Regulation
- Office of the Secretary (Transportation)